

# INFORMATION DISCLOSURE CITATION IN AN APPLICATION

(PTO-1449)

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APPLICANT  
~~Sadami TAKEOKA, et al.~~ DEGRAFF ET AL.

FILING DATE  
April 21, 2004

GROUP 3694

## U.S. PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Document Number Number-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/SM/		US 2002/0194564	12/2002	Ysaji et al.	
		US 6,519,726	02/2003	Ysaji et al.	
		US 6,400,173	06/2002	Shimizu et al.	
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		US 2003/0008795	01/2003	Aseyame et al.	
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## FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Foreign Patent Document Country Codes-Number-Kind Codes (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Figures Appear	Translation
						Yes No

## OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER'S INITIALS	CITE NO.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.

EXAMINER  
/Shahid Merchant/

DATE CONSIDERED  
03/12/2007

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**(Use as many sheets as necessary)**

Sheet	1	of	3
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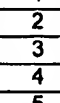
**Complete If Known**

<b>Application Number</b>	to be assigned
<b>Filing Date</b>	to be assigned
<b>First Named Inventor</b>	Jim Degraaf
<b>Art Unit</b>	to be assigned 3694
<b>Examiner Name</b>	to be assigned /Shahid Merchant
<b>Attorney Docket Number</b>	11483-33

## U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (If known)			
/SM/	1	US-4,346,442	08-24-1982	Musmanno	
	2	US- 4,842,768	02-10-1987	Roberts	
	3	US- 4,674,044	06-16-1987	Kalmus, et al.	
	4	US- 4,694,397	09-15-1987	Grant, et al.	
	5	US- 4,744,026	05-10-1988	Vanderbei	
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	8	US- 4,752,877	06-21-1988	Roberts, et al.	
	9	US- 4,797,839	01-10-1989	Powell	
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	11	US- 5,101,353	03-31-1992	Lupien, et al.	
	12	US- 5,148,365	06-15-1992	Dembo	
	13	US- 5,729,700	03-17-1998	Melnikoff	
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	16	US- 5,806,049	09-08-1998	Petruzzi	
	17	US- 5,819,237	10-06-1998	Garman	
	18	US- 5,884,287	03-16-1999	Edesess	
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	20	US- 6,122,623	09-19-2000	Garman	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
<div style="text-align: center;">  </div>	1	EP 0,401,203 A2	12-05-90	Lupien, et al.		
	2	EP 0,573,991 A1	12-15-93	Ginsberg		
	3	EP 0,686,926 A2	12-13-95	Dembo		
	4	JP 3,077,163	04-02-91	Izumi Hiroyuki		
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	6	JP 3,189,862	08-19-91	Izumi Hiroyuki		
	7	WO 92/15064	09-03-92	Fong, et al.		
	8	WO 92/15953	09-17-92	Boes		
	9	WO 98/54666	12-03-98	Dembo, et al.		

**Examiner  
Signature**

/Shahid Merchant/

Date Considered

03/12/2007

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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	2.	of	3
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Application Number

**Filing Date**

**First Named Inventor**

**Jim Degraaf**

**Art Unit**

3694

**Examiner Name**

/Shareholder/

Attorney Docket Number

11483-33

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

**Examiner  
Signature**

/Share Merchant/

Date \_\_\_\_\_

**Considered**

03/12/2007

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**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Sheet 3 of 3

**Complete if Known**

Application Number

Filing Date

First Named Inventor

Jim Degraaf

Art Unit

3694

Examiner Name

/Shahid Merchant/

Attorney Docket Number

11483-33

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
/SM/	1	SALMAN AZBAR, "Data Compression Techniques For Stock Market Prediction", IEEE, 1994, pp. 72, 74, 76, 78, 80, 82.	x
/SM/	2	"Hedging Tools For Investment Professionals", Wall Street Computer Review, March 1989, 3 pages of text and p. 42.	x

Examiner  
Signature

/Shahid Merchant/

Date  
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